

Council Policy

Recordkeeping



Legislation/local law requirements	<i>State Records Act 2000</i>
Relevant Delegation	See Delegated Authority Register
Related policy procedures and documents	Corporate Information Management Handbook Information Management Operations Manual

Introduction

This policy ensures that the City of Kwinana has appropriate practices established to manage the creation, capture, preservation, retention and disposal of all recorded business-related documents, in accordance with the State Records Act 2000

Purpose

The purpose of this policy is to define the principles of the City's information management function and provide guidance and direction on the creation and management of information and records for the individuals who are responsible for managing or performing those processes on behalf of the City.

This Policy should be read in conjunction with the following documents:

- City of Kwinana Recordkeeping Plan
- City of Kwinana Disaster Recovery Plan
- Vital Records Register
- Information Management Operations Manual
- Information Management Handbook

This suite of documents is the framework for the reliable and systematic management of the City's records and information and ensures records are created and retained appropriately to meet accountability requirements of the *State Records Act 2000*, other legislation, and best practice standards.

Objectives

The objectives of this policy are:

- To keep records and facilitate the collection of data through the City's business record keeping system, which includes but is not limited to physical mail, publications, emails, digital images, website and social media posts, text messages and information contained on the shared network drives.
- To ensure compliance with the requirements of the State Records Act 2000 and the Local Government Act 1995.

Scope

This Policy applies in relation to all records created or received by City of Kwinana Elected Members, employees and contractors. This includes all full-time, part-time, temporary and casual staff, contractors, work experience students and volunteers employed either directly by the City or engaged through a recruitment agency, labour hire organisation or any other third party.

Policy Provisions

Definitions

Term	Definition
<i>ephemeral records</i>	<p>Any record that has short term value to the City, with little or no ongoing administrative, fiscal, legal, evidential, or historical value and is generally only needed for a few hours or a few days.</p> <p>The City uses the guidelines contained within the General Disposal Authority for Local Government Records to determine which records are considered ephemeral.</p>
<i>General Disposal Authority (GDA)</i>	<p>The General Disposal Authority for Local Government records is issued by the State Records Office of Western Australia and designed to provide consistency throughout Local Government in disposal activities and decisions. It establishes the minimum retention period for each type of record listed in the schedule regardless of medium and dictates the final action for the record.</p>
<i>General Disposal Authority for Source Records (GDASR)</i>	<p>The General Disposal Authority for Source Records is issued by the State Records Office of Western Australia and provides for the digitisation of records and the retention of reproductions that meet the specific requirements of the <i>State Records Act 2000</i>.</p>
<p><i>record</i></p> <p><i>(May also referred to as a corporate or business record)</i></p>	<p>A record is information recorded in any form that is created, received, and maintained by an organisation in the course of conducting its business activities and kept as evidence of such activity. It includes any hardcopy, digital or online record that meets one or more of the following criteria:</p> <ol style="list-style-type: none"> a. It conveys information essential or relevant in decision making processes. b. It conveys information upon which others will, or may, use to make decisions affecting the City's operations, rights, and obligations under legislation. c. It commits the City to certain courses of action, the commitment of resources or provision of services. d. It conveys information about matters of public safety or public interest or involves information upon which contractual undertakings are entered into. e. The information is likely to be needed for future use or is of historical value.
<i>Recordkeeping Plan</i>	<p>Ensures records are created, managed, and maintained over time and disposed in accordance with principles and standards issued by the State Records Commission. It is the primary means of providing evidence of compliance with the <i>State Records Act 2000</i> and shows how best practices have been implemented within the organisation.</p>
<i>Recordkeeping System / eDRMS</i>	<p>A system to capture, maintain and provide access to records over time that displays features for ensuring authentic, reliable, complete, and usable records that function as evidence of business transactions. (State Records Office)</p>
<i>Significant Records</i>	<p>Significant records contain information which is of administrative, legal, fiscal, evidential, or historical value, and are not recorded elsewhere on the public record.</p>

<i>State Archive</i>	Means a State record that is to be retained permanently. (State Records Office)
<i>State Records Act 2000</i>	The <i>State Records Act 2000 Act</i> has specific provisions relating to the responsibility to create, manage and dispose of records in accordance with principles and standards issues by the State Records Commission. In accordance with Section 19 of the Act, the City will ensure it endorses and maintains a Recordkeeping Plan approved by the State Records Commission.
<i>source record</i>	Records that have been identified as suitable for digitisation under GDASR.
<i>vital record</i>	Records that have been identified as essential to the continuing business of the City. These include those that protect the rights of individuals and the City and are essential for reconstruction in the event of a disaster.

Policy Statement

Records are recognised as an important information resource within the City of Kwinana, and it is accepted that sound records management practices will contribute to the overall efficiency and effectiveness of the organisation.

The effective management of records will also:

- Protect the interests of the City and the rights of its employees, customers and stakeholders;
- Support informed decision making;
- Provide evidence of achievements; and
- Increase efficiency in administration and service delivery across the organisation.

1.1 Responsibilities

Chief Executive Officer

In accordance with section 5.41(h) of the *Local Government Act 1995*, the Chief Executive Officer is responsible for ensuring that all records of the City are kept in accordance with relevant legislation.

Elected Members

The State Records Commission policy regarding the records of local government elected members requires the creation and retention of records of the communications and transactions of elected members which constitute evidence affecting the accountability of the Council and the discharge of its business.

The following records are to be captured, by forwarding to the Council Administration Officer:

<p>Communications, such as:</p> <ul style="list-style-type: none"> • complaints and compliments • correspondence concerning corporate matters • submissions, petitions and lobbying • information for Council's interest relating to local government business activity and functions
Lobbying – correspondence or petitions, relating to lobbying matters
Telephone, meetings and other verbal conversations – regarding local government projects or business activities
Social Media – where the posts:

<ul style="list-style-type: none"> • create interest from the public or media • communicate decisions or commit the local government to an action • seek feedback • address issues of safety, and/or • relate to sensitive or contentious issues
Work diaries / Appointment books – containing information that may be significant to the conduct of the elected member on behalf of the local government
Allowances, benefits and gifts records
Addresses / Speeches / Presentations – delivered as part of an elected member’s official duties

Management Team or Management

Managers and coordinators are responsible for:

- Ensuring that all employees under their supervision comply with this policy and associated records management procedures.
- Ensuring that all new employees attend compulsory induction training to their record keeping responsibilities.

Staff and Contractors

All staff and Contractors are required to:

- Complete compulsory records management education initiatives within designated timeframes.
- Create, receive, maintain and store records relating to the business activities they perform in accordance with this Policy, the City’s Recordkeeping Plan and established procedures, guidelines and practices.

Information Management Team

The Information Management team are responsible for:

- Providing an information management service that complies with this policy, associated procedures and any legislative requirements;
- The development, maintenance, promotion, and support of an organisational system for the capture and management of records that is compliant with legislative requirements and best practice standards;
- Assisting and supporting all City employees in meeting their recordkeeping responsibilities by defining strategies that will support and document accountability and responsibility throughout the organisation;
- Providing education in relation to recordkeeping compliance, recordkeeping practices, policies and the records management system; and
- Monitoring and reporting on compliance with this policy.

1.2 Ownership

Records created or received by employees are to be managed in accordance with the relevant legislation, the City’s revised Recordkeeping Plan, this policy and associated guidelines and procedures. The City’s records are corporate assets, and the City is the owner of all records and as such records are not the property of individual employees.

Outsourced Functions performed on behalf of the City

Contractual agreements or other similar arrangements must include appropriate recordkeeping clauses that specify requirements for external providers. They are to create, manage, store and transfer records in accordance with the City of Kwinana’s Recordkeeping Plan, Procurement policy, the City’s Terms and Conditions for the

Supply of Goods and Services and the State Records Commission Standard 6 – Outsourcing.

1.3 Creation of Records

All employees, contractors and elected members will ensure that full and accurate records are created to provide evidence of business transactions and decisions and that these records will be registered in the City's recordkeeping system.

Creation, Capture and Control of Records

All records created and received in the course of City business are to be captured at the point of creation, regardless of format, with required metadata into the recordkeeping or approved business system, that contains appropriate security and retention and disposal functionality. All records must be titled in a way that is easily retrievable and in line with the City's document naming and titling conventions.

1.4 Security and Protection of Records

All records are to be categorised according to their level of sensitivity and adequately secured and protected from violation, unauthorised access, or destruction, and kept in accordance with necessary retrieval, preservation, and storage requirements.

1.5 Access Use and Disclosure of Records

Access to the City's records by staff and contractors will be in accordance with designated access and security classifications and in accordance the City's Recordkeeping Operational Guidelines.

The public's access to the City's records will be in accordance with the *Local Government Act 1995* and the *Freedom of Information Act 1992* and any other relevant legislation.

Access to the City's records by Elected Members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.

1.6 Storage

Digital records must not be maintained in email folders, shared folders (unless authorised), personal drives, external storage media or cloud storage not approved for use as these lack the necessary functionality to protect business information and records over time.

Physical vital records are to be stored in secure fire-resistant locations using documented protocols designed to secure and protect the records from a disaster.

1.7 Preservation

Where records, regardless of format, are no longer used but because of their legal, evidential or informational value have been selected for permanent retention, will be managed in accordance with relevant industry storage specifications and standards to maximise their longevity and preservation.

The City has implemented a vital records program to assist with safeguarding its vital information assets. Staff responsible for the ongoing management of these records and information are required to familiarise themselves with the guidelines and abide by the counter disaster measures in place.

Preservation of records also entails the migration of data. All migrations of data must produce authentic, complete, accessible records. The City requires that implementation plans for new or upgraded electronic recordkeeping and business systems have a data migration strategy that includes the methodology for migration of data, metadata, and records. The outcome expected is that migrated records retain the same level of useability and the methodology for implementation ensures where occur they may be reverse engineered to protect the original record.

1.8 Appraisal, Retention and Disposal of Records

Records will be disposed of in accordance with the General Disposal Authority for Local Government Records, published by the State Records Commission of Western Australia.

Staff, contractors and elected members must not personally undertake destruction of any records. Records identified for destruction will be subject to review and approval by the Information Management Coordinator, the Manager of the business unit the records relate to, and the Chief Executive Officer.

Ephemeral records are not required to be placed within the City's official recordkeeping system. Staff or contractors may dispose of such ephemeral records once reference ceases.

Copies/duplicates may be disposed of after use ensuring any such records that contain personally identifiable information or information that is not publicly available are placed into confidential destruction bins or given to the Information Management Team for secure disposal.

Digitisation

All hardcopy records that are digitised must be in accordance with the General Disposal Authority for Source Records (RD 2016002) and internal guidelines established for this process. The digitised record will become the City's original record. Both the digitised and paper record will be managed in accordance with sound recordkeeping principles.

OFFICER USE ONLY

Officers may amend this section without council approval.

Responsible Team	Governance and Legal (Information Management)	
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